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FROM: Gregory P. Durbin FAX #: (303) 629-3450

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COMMENTS:

Attached is a Preliminary Amendment and Certificate of Transmission by Facsimile (37 CFR 1.8) relating to Application No. 09/991,762 filed November 21, 2001.

Gregory P. Durbin, # 42,503  
Customer No. 20686

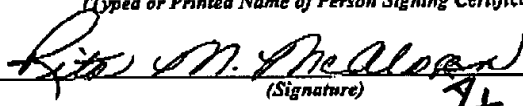
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<b>CERTIFICATE OF TRANSMISSION BY FACSIMILE (37 CFR 1.8)</b> Applicant(s): Margaret Sue Ellis			Docket No. 11401.00
Serial No. 09/991,762	Filing Date November 21, 2001	Examiner not yet assigned	Group Art Unit 2164
Invention: ANALYZING INVESTMENT DATA			
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I hereby certify that this <u>Preliminary Amendment</u> (Identify type of correspondence) is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. <u>703-872-9310</u> ) on <u>May 14, 2002</u> (Date)			
<div style="text-align: right;"><u>Rita M. McAloon</u> (Typed or Printed Name of Person Signing Certificate)  (Signature)</div>			
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5.29.02

Attorney Docket No. 11401.00

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Margaret Sue Ellis

Application No.: 09/991,762

Group Art Unit: 2164

Filed: November 21, 2001

Examiner: Not Yet Assigned

Title: ANALYZING INVESTMENT DATA

Commissioner for Patents  
Washington, D.C. 20231RECEIVED  
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Technology Center 2100PRELIMINARY AMENDMENT

Sir:

Please amend the above-identified application as follows:

Replace the paragraph beginning at page 1, lines 7-10, after "Reference to Related Applications," in its entirety with the following paragraph:

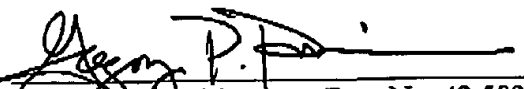
Q1 This application is related to co-pending commonly assigned application no. 09/992,348 entitled "Credit Risk Managing Loan Pools," Attorney Docket No. 10017.00, filed on November 21, 2001, which is hereby incorporated by reference in its entirety.

## REMARKS

Attached hereto is a marked-up version of the changes made to the specification by the current amendment. The attached page is captioned "Version With Markings to Show Changes Made."

Respectfully submitted,

Dated: May 14, 2002

  
Gregory P. Durbin, Atty. Reg. No. 42,503  
DORSEY & WHITNEY LLP  
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